

CONNECTICUT STATE DEPARTMENT OF EDUCATION
DIVISION OF TEACHING AND LEARNING PROGRAMS AND SERVICES

2006-2007 COMPETITIVE APPLICATION

FOR

STATE FUNDS TO PROVIDE TECHNICAL ASSISTANCE
FOR
CONNECTICUT HEALTH AND EDUCATIONAL FACILITIES AUTHORITY
(CHEFA) APPLICANTS



Public Act 05-245 (3)

AN ACT CONCERNING EDUCATION IMPLEMENTER PROVISIONS

Purpose: To provide technical assistance to programs and agencies for the development of applications for the Connecticut Health and Education Facility (CHEFA) funding.

Applications Due: February 3, 2006

Published December 2005

RFP 162

CONNECTICUT STATE DEPARTMENT OF EDUCATION

Dr. Betty J. Sternberg

Commissioner of Education

IT IS THE POLICY OF THE STATE OF CONNECTICUT THAT NO PERSON SHALL BE EXCLUDED FROM PARTICIPATION IN, DENIED THE BENEFITS OF, OR OTHERWISE DISCRIMINATED AGAINST UNDER ANY PROGRAM INCLUDING EMPLOYMENT, BECAUSE OF RACE, COLOR, RELIGIOUS CREED, SEX, AGE, NATIONAL ORIGIN, ANCESTRY, MARITAL STATUS, SEXUAL ORIENTATION, MENTAL RETARDATION AND PAST/PRESENT HISTORY OF MENTAL DISORDER, LEARNING DISABILITY AND PHYSICAL DISABILITY.

Table of Contents

Purpose of Grant.....	1
Grant Period.....	1
Eligible Applicants.....	1
Funding.....	1
Overall Use of Funds.....	1
Due Date.....	1
Grant Contact.....	2
General Proposal Requirements.....	2
Qualification Criteria.....	2
Project Reporting.....	2
General Submission Requirements.....	2
Mail and Delivery Info.....	3
Grant Requirements.....	3
Appendices.....	4
Appendix A Grant Cover Page.....	4
Appendix B Narrative Description.....	5
Appendix C Proposed Services to be Provided.....	6
Appendix D Fiscal Agent.....	8
Appendix E ED 114 Budget.....	9
Appendix F Budget Narrative.....	10
Appendix G Budget Object Codes.....	11
Appendix H Statement of Assurances.....	13
Appendix I Affirmative Action.....	18
Appendix J Application Checklist.....	33
Appendix K Evaluation Criteria.....	34

Purpose of Grant

Public Act 05-245, An Act Concerning Education Implementer Provisions established an Early Childhood Education Cabinet that would *"... advise the Commissioner of Education on policies and initiatives to meet the goals established in C.G.S.10-160...."*. At the November 3, 2005 meeting, the Early Childhood Cabinet advised the Connecticut State Department of Education to establish a grant program that will fund an entity to provide technical assistance and support to non-profit private and public programs in their application process for financing through the Child Care Facilities Loan Fund from the Connecticut Health and Educational Facilities Authority (CHEFA).

Grant Period

Grant Period: February 3, 2006 to June 30, 2007

All funds must be obligated by June 30, 2007. There are no exceptions or waivers from this requirement.

Eligible Applicants

Bidders that meet the eligibility requirements and can document knowledge, experience and expertise in the fields of real estate, early childhood, financing and community collaboration.

Funding

Total funds available: \$100,000 for the grant period.

Applications will be reviewed and the grant will be awarded using a criterion based scoring system. The State Department of Education (SDE) reserves the right to make grant awards under this program without discussion with the applicants; therefore, proposals should represent the applicant's best effort to ensure a quality proposal from both a technical and cost standpoint. All awards are subject to the availability of state funds. Continued funding is contingent on budgetary appropriation and performance of the grantee. Grants are not final until the award letters are executed. The Associate Commissioner for the Division of Teaching and Learning Programs and Services will issue the notification of the grant award. The level of funding and effective dates of the project will be set forth in the notification of the grant award.

Overall Use of Funds:

Funds may be used to:

- Assist programs in the planning process;
- Assist programs in the pre-application process; and
- Assist programs in other activities such as training and provision of resources and the dissemination of small planning grants to support programs in their application efforts.

Funds may not be used for indirect costs, purchased property services or property.

Due Date:

Proposals, IRRESPECTIVE OF POSTMARK DATE, must be received no later than 4:00 PM on Friday February 3, 2006. No extensions will be given.

Grant Contact:

Joyce M. Staples, Early Childhood Consultant (860) 807-2057 or by e-mail at joyce.staples@po.state.ct.us

General Proposal Requirements:

Providing technical assistance and support to programs that wish to pursue the CHEFA funding for early childhood facilities is key in ensuring that all aspects of the process from preliminary planning, the application process to completion are successful. This Request for Proposals (RFP) is intended to solicit applications from interested parties who meet the qualification criteria, are able to demonstrate successfully their ability to perform the tasks outlined in the proposal and can fulfill all of the responsibilities assigned.

Qualification Criteria:

In order to fulfill the duties and responsibilities of this RFP, the bidder must have knowledge, experience and expertise in real estate development, financing, and early childhood environmental design and be able to work collaboratively with people in a community. The bidder must demonstrate an ability to facilitate a process that requires the ability to identify key groups, issues of concern, areas of expertise and potential challenges in a community as well as the ability to develop the varied strategies that will be needed to address these areas.

Project Reporting:

Grantees will be required to provide quarterly reports and documentation to the Connecticut State Department of Education on the activities of the technical assistance projects. Summative reports are due to Joyce M. Staples, Early Childhood Consultant at joyce.staples@po.state.ct.us by August 15, 2006 and August 15, 2007. Expenditure reports must be filed with the Grants Management Office in the Connecticut State Department of Education by September 1, 2006 and September 1, 2007 of the grant year.

General Submission Requirements

Delivery of this application is required by 4:00 PM on Friday February 3, 2006 irrespective of the postmark date and means of transmittal. Facsimile copies of the application will not be accepted. Only applications with original signatures will be accepted. Extensions shall not be given. Applicants will submit one (1) signed original and four (4) copies. The original proposal must bear an original signature of the authorized representative of the applicant. An original signature must also be included on the Standard Statement of Assurances and the Affirmative Action Packet which are requirements of all proposals.

All of the information contained in the grant application submitted is subject to the provisions of Chapter 3 of the Connecticut General Statutes (Public Records and Meetings and Freedom of Information Act (FOIA) Sections 1-200 to 1-241, inclusive. The FOIA declares that except as provided by federal law or state statute, records maintained or kept on file by any public agency, as defined in the statute, are public records and every person has the right to inspect and receive a copy of such records.

Mail & Delivery Information
Joyce M. Staples Grant Manager CT State Department of Education 25 Industrial Park Road Middletown, Connecticut 06457

Grant Requirements:

Applicants must complete and submit the following:

1. Narrative	Provide a narrative of no more than two pages that describes how the applicant meets the established criteria and attach relevant certifications, documentation of experiences and at least three letters of recommendations from work completed within the last three (3) years.
2. Plan for Expenditure of Funds	Provide a concise description of how the applicant will provide technical assistance in the following areas, including strategies, methodology, schema of actions, report formats, schedules, follow up and evaluation of each community's process. This description may include narrative and charts. <ul style="list-style-type: none"> • Planning Process • Pre-Application Process • Other
3. Budget	The ED 114 and the Budget Narrative
4. Assurances	All signed assurances should be included with the application
5. Affirmative Action	An affirmative action packet should be completed and submitted with this application if the applicant does not have a packet on file with the State Department of Education. Applicants with Affirmative Action packets on file with the State Department of Education may submit the completed "Certification Form" with signatures.
6. Application Checklist	Please complete and include in the application

Appendix A: Cover Page

**COMPETITIVE APPLICATION
FOR
PROVISION OF TECHNICAL ASSISTANCE FOR THE CONNECTICUT
HEALTH AND EDUCATIONAL FACILITIES AUTHORITY (CHEFA)
APPLICATIONS**

<u>APPLICANT AGENCY:</u> (Name, Address, Telephone, Fax)	<u>LOCAL PROGRAM TITLE:</u>
<u>AGENCY CONTACT PERSON:</u> (Name, Address, Telephone, Fax)	<u>FUNDS REQUESTED:</u>

I, _____, the undersigned authorized chief administrative official submit this proposal on behalf of the applicant agency, attest to the appropriateness and accuracy of the information contained therein, and certify that this proposal, if funded, will comply with all relevant requirements of the state and federal laws and regulations.

In addition, funds obtained through this source will be used solely to support the purpose, goals and objectives as stated herein.

Signature:

Name: (typed)

Agency:

_____	Title: _____
_____	Date: _____

Appendix B: Narrative

In no more than two pages, please describe the applicant's knowledge, experience, expertise and capabilities in the following areas:

- real estate development;
- environment and design in the early childhood education field;
- financing;
- ability to identify key groups, issues of concern and challenges and develop strategies to address them;
- ability to work with a variety of people in a community and build community support through collaboration with elected officials, parents, advocates, businesses, education officials, and others interested in early childhood education and community improvements; and
- coordination of local and state efforts through linkages with the Connecticut State Department of Education, State Department of Social Services, CHEFA and local representatives of the community and programs.

Attach relevant certifications, documentation of experience and at least 3 letters of recommendations from work completed within the last 3 years.

Appendix C: Proposed Services to be Provided

The proposal must address the bidder's ability to provide technical assistance in the following areas and include a description of the strategies, methodology, schema of actions, report formats, schedules, follow up and evaluation of the process that will be used in the provision of technical assistance and support to individual communities. This section may include narrative and charts and is limited to a total of eight (8) pages.

- **Planning Process:** (limited to three pages)

In working with a community or individual program, how would the applicant identify and assess the following:

- Current facilities and operating capacity;
- Community needs, including demand for infant toddler and early childhood services, the need for part time versus full time care and the range of family income and resources which impact their ability to pay for services; and
- Support for the project including identification of the areas of support, opposition, and potential barriers to the project.

How would the applicant systematize communication between the community/program and other stake holders in the project on updates or issues concerning the real estate development process, facility development and operating pro formas for feasibility?

- **Pre-Application Process:** (limited to three pages)

Describe how the applicant would work with a community or individual program to:

- Identify potential sites in the community including the advantages and disadvantages, zoning and regulatory issues;
- Negotiate zoning and regulatory barriers with the provider;
- Assist programs in developing project financing plans, identifying potential sources of capital and prepare financing applications and proposals;
- Assist programs with development of a fundraising plan if necessary;
- Provide guidance to the site in the steps of the real estate process;
- Guide the provider in the recruitment of real estate development professionals, such as architects and contractors as well as specialists that may be required;
- Share best practices on quality early childhood facility design with the provider and architect; and
- Review and refine construction project budgets.

- **Other:** (limited to two pages)

Describe how the applicant would:

- Provide training and resources guides on all aspects of child care facility design, development and financing including outdoor playgrounds for interested providers, communities, architects and contractors;
- Evaluate the preliminary design and offer cost-effective modifications to improve the quality of the facility;
- Assist providers with small planning grants for the early stages of a project to pay for feasibility studies, architectural drawings, environmental studies, legal fees or other "up front" costs; and
- Participate in joint meetings and work collaboratively with the Connecticut Department of Education, Department of Social Services, CHEFA and local community representatives and programs.

Appendix D: Fiscal Agent

Identify the fiscal agent

Please be advised that if the fiscal agent for this grant program is other than the applicant, the fiscal agent must sign the Grant Cover Page and the grant's Statement of Assurances to certify compliance with all relevant requirements of this State grant program.

Fiscal Agent Information

Identify Fiscal Agent: _____

Street Address: _____

City, State, Zip Code: _____

Telephone: _____	Fax: _____
------------------	------------

Primary Contact Person: _____

Federal ID #: _____

Appendix E: ED114 Budget

ED 114 FISCAL YEAR 2006	BUDGET FORM	FUNDING STATUS:
!GRANTEE NAME:	VENDOR ID:	!
!GRANT TITLE: EARLY CHILDHOOD ADVISORY COUNCIL !		
!PROJECT TITLE: TECH ASSISTANCE FOR CHEFA APPS. !		
!FUND: 11000 SPID: 12331 YEAR: 2006 PROG: 82010 CF1: CF2: !		
!GRANT PERIOD: 02/03/06-06/30/06		!AUTHORIZED AMOUNT: !
!AUTHORIZED AMOUNT BY SOURCE: !		
!LOCAL BALANCE	CARRYOVER DUE	CURRENT DUE !
!CODES!	!DESCRIPTIONS	!BUDGET !
!111A !	ADMINISTRATOR/SUPERVISOR SALARIES	! !
!112B !	CLERICAL	! !
!119 !	OTHER	! !
! !		! !
!200 !	PERSONAL SERVICES-EMPLOYEE BENEFITS	! !
! !		! !
!330 !	OTHER PROFESSIONAL TECHNICAL SERVICES	! !
! !		! !
!530 !	COMMUNICATIONS	! !
!580 !	TRAVEL	! !
!590 !	OTHER PURCHASED SERVICES	! !
! !		! !
!612 !	ADMINISTRATIVE SUPPLIES	! !
! !	!_TOTAL	! !

ORIGINAL REQUEST DATE: __/__/__	STATE DEPARTMENT OF EDUCATION	DATE OF
REVISED REQUEST DATE: __/__/__	PROGRAM MANAGER AUTHORIZATION	APPROVAL

Appendix F: 2006 Budget Narrative

A separate budget justification must be completed in detail identifying the specifics for each line item expenditure noted in your budget.

Appendix G: Budget Object Codes

Explanation of Budget Object Codes

SALARIES (100)

- 111A Administrator/Supervisor Salaries:** Amounts paid to administrative employees of the grantee not involved in providing direct services to pupils/clients. Include all gross salary payments for these individuals while they are on the grantee payroll including overtime salaries or salaries paid to employees of a temporary nature.
- 112B Clerical:** Salaries for employees performing clerical/secretarial services. Include all gross salaries for these individuals while they are on the grantee payroll including overtime salaries or salaries of temporary employees.
- 119 Other:** Salaries for any other employee not fitting into objects 111A, 111B, 112A or 112B. Include the gross salaries for these individuals including overtime salaries or temporary employees. Included can be janitorial personnel costs, grant activity coordinators, salaries, and food service personnel.

BENEFITS (200)

- 200 Personnel Services - Employee Benefits:** Amounts paid by the grantee on behalf of the employees whose salaries are reported in objects 111A, 111B, 112A, 112B or 119. These amounts are not included in the gross salary but are in addition to that amount. Such payments are fringe benefit payments and, while not paid directly to employees, nevertheless are parts of the cost of personal services.

Included are the employer's cost of group insurance, social security contribution, retirement contribution, tuition reimbursement, unemployment compensation and workmen's compensation insurance.

PURCHASED SERVICES (300)

- 330 Other Professional/Technical Services:** Payments for professional or technical services that are not directly related to instructional activities. Included are payments for data processing, management consultants, legal services, etc.

OTHER PURCHASED SERVICES (500)

- 530 Communications:** Payments for services provided by persons or businesses to assist in transmitting and receiving messages or information. This category includes telephone, FAX services, postage, and postage machine rental.
- 580 Travel:** Expenditures for transportation, meals, hotel and other expenses associated with staff travel, including conference or workshop fees. Per diem payments to staff in lieu of reimbursement for subsistence (room and board) are included.
- 590 Other Purchased Services:** All other payments for services rendered by organizations or personnel not on the grantee payroll not detailed in 510, 530, 560, 580 or 590. These include printing and advertising costs.

SUPPLIES (600)

- 612 Administrative Supplies:** Expenditures for consumable items directly related to program administrative (non-instructional) activities.

Appendix H: Statement of Assurances

The Statement of Assurances Signature Page included in this grant must provide the authorized signatures of the applicant agency. (Please note that the authorized signatures of the eligible applicant must also be provided on the cover page of the grant application submitted with the grant.

PROJECT TITLE _____

THE APPLICANT: _____ HEREBY ASSURES THAT:
(Insert Agency Name)

- A. The applicant has the necessary legal authority to apply for and receive the proposed grant;
- B. The filing of this application has been authorized by the applicant's governing body, and the undersigned official has been duly authorized to file this application for and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application;
- C. The activities and services for which assistance is sought under this grant will be administered by or under the supervision and control of the applicant agency;
- D. The project will be operated in compliance with all applicable state and federal laws and in compliance with the regulations and other policies and administrative directives of the Connecticut State Board of Education and the State Department of Education;
- E. Grant funds shall not be used to supplant funds normally budgeted by the agency;
- F. Fiscal control and accounting procedures will be used to ensure proper disbursement of all funds awarded;
- G. The applicant will submit a final project report (within 60 days of the project completion) and such other reports, as specified, to the State Department of Education, including information relating to the project records and access thereto as the State Department of Education may find necessary;
- H. The Connecticut State Department of Education reserves the exclusive right to use and grant the right to use and/or publish any part or parts of any summary, abstract, reports, publications, records, and materials resulting from this project and this grant;
- I. If the project achieves the specified objectives, every reasonable effort will be made to continue the project and/or implement the results after the termination of state and/or federal funding;
- J. The applicant will protect and save harmless the State Board of Education from financial loss and expense, including fees and legal fees and costs, if any, arising out of any breach of the duties, in whole or in part, described in the application for this grant;

- K. At the conclusion of each grant period, the applicant will provide for an independent audit report acceptable to the grantor in accordance with Sections 7-394a and 7-396a of the Connecticut General Statutes, and the applicant shall return to the State Department of Education any monies not expended in accordance with the approved program/operation budget as determined by audit;

L. **Required Contract Language**

(1) For the purposes of this section, "Commission" means the Commission on Human Rights and Opportunities.

For the purposes of this section, "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capitol stock, if any, or assets of which is owned by a person or persons: (a) who are active in the daily affairs of the enterprise, (b) who have the power to direct the management and policies of the enterprise and (c) who are members of a minority, as such term is defined in subsection (a) of Connecticut General Statutes Section 32-9n; and "good faith" means that the degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "Good faith efforts" shall include, but shall not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements.

For the purposes of this section, "sexual orientation" means having a preference for heterosexuality, homosexuality or bisexuality, having a history of such preference or being identified with such preference, but excludes any behavior which constitutes a violation of part VI of chapter 952 of the general statutes.

(2) (a) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or the State of Connecticut. If the contract is for a public works project, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such project. The contractor further agrees to take affirmative action to insure that applicants with job related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, or physical disability, including, but not limited to, blindness, unless it is shown by the contractor that such disability prevents performance of the work involved; (b) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the commission; (c) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission, advising the labor union or worker's representative of the contractor's commitments under this section and to post copies of the notice in conspicuous places

available to employees and applicants for employment; (d) the contractor agrees to comply with each provision of this section and Connecticut General Statutes Sections 4a-62, 32-9e, 46a and 46a-68b to 46a-68k, inclusive and with each regulation or relevant order issued by said commission pursuant to said sections; (e) the contractor agrees to provide the commission on human rights and opportunities with such information requested by the commission, and permit access to pertinent books, records, and accounts, concerning the employment practices and procedures of the contractor as related to the provisions of this section and section 46a-56.

(3) Determination of the contractor's good faith efforts shall include but shall not be limited to the following factors: the contractor's employment and subcontracting policies, patterns and practices; affirmative advertising; recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

(4) The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.

(5) The contractor shall include the provisions of subsection (2) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding in a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of reinforcing such provisions including sanctions for noncompliance in accordance with this section and Connecticut General Statutes Sections 4a-62, 32-9e, 46a-56 and 46a-68b to 46a-68k, inclusive; provided if such contractor becomes involved in, or is threatened with litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

(6) The contractor agrees to comply with the regulations referred to in this section as the term of this contract and any amendments thereto as they exist on the date of the contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.

(7) (a) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated, when employed, without regard to their sexual orientation; (b) the contractor agrees to provide each labor union or representative of workers with which such contractors has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission on human rights and opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (c) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56 of the Connecticut General Statutes; (d) the contractor agrees to provide the commission on human rights and

opportunities with such information requested by the commission and permit access to pertinent books, records and accounts, concerning employment practices and procedures of the contractor which related to the provisions of this section and section 46a-56 of the general statutes.

(8) The contractor shall include the provisions of subsection (7) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor, or manufacturer unless exempted by regulations and orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56 of the general statutes; provided, if such contractor or vendor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

M. **OTHER ASSURANCES**

The grant award is subject to approval of the State Departments of Education and the availability of state and/or federal funds;

N. The applicant agrees and warrants that Sections 4-190 to 4-197, inclusive, of the Connecticut General Statutes concerning the Personal Data Act and Sections 10-4-8 to 10-4-10, inclusive, of the Regulations of Connecticut State Agencies promulgated thereunder are hereby incorporated by reference;

O. **Management and Control of the Program and Grant Consultation Role Of The State**

The grantee should have complete management control of this grant. While state agency staff may be consulted for their expertise, they will not be directly responsible for the selection of sub-grantees or vendors, nor will they be directly involved in the expenditure and payment of funds obligated by the grantee.

P. **Annie Casey Foundation**

Applicants that are part of a collaborative effort funded in whole or in part by the Annie E. Casey Foundation must submit documentation that:

(1) the collaborative oversight entity has been provided the opportunity to review and comment on the grant application or proposal prior to submission to the Department;

(2) the proposal or application submitted provides information detailing the activities which assure priority access to services to children, youth and families referred by the collaborative oversight entity; and

(3) the applicant shall designate someone to act as liaison for the referral process.

Q. Grant funds should not be committed until an official grant award letter is received;

- R. This provision and its subsections are included in this agreement in accordance with section 6 and 11 of Governor M. Jodi Rell's Executive Order #7A: (a) The State Contracting Standards Board (the "board") may, for cause, review this Agreement and recommend to the contracting agency, for its consideration and final determination as required or permitted by and in accordance with this Agreement and applicable law, termination of this Agreement after providing fifteen days' prior written notice to the contracting agency and the applicable contractor that it will review the Agreement. The results of the Board's review, together with its recommendations, shall be provided to the contracting agency and any other affected party in a timely manner, provided that nothing shall be construed to limit the power of the commissioner or department head of the contracting agency to consider the recommendations of the Board, as required or permitted in accordance with applicable law. For the purpose of this provision, "for cause" means: (1) A violation of Sections 1-84, 1-86e or 4a-100 of the Connecticut General Statutes or (2) wanton or reckless disregard of any State contracting and procurement process by any person substantially involved in this Agreement or the contracting agency. (b) The contractor shall disclose to the head of the contracting agency prior to its execution of this Agreement any items of value provided to any State employees for which full payment has not been made.
- S. The signature of the authorized official on the Statement of Assurances Signature Page indicates the intent to comply with the provisions referenced in each section. Assurances not agreed to by the authorized official must be identified on a separate sheet with a rationale for the disagreement; and
- T. The State Department of Education reserves the right to negotiate terms, including the withholding of funds, based on the grantee's inability to comply with these assurances.

I, the undersigned authorized official: hereby certify that these assurances shall be fully implemented.

Signature _____

Name (typed) _____

Title (typed) _____

Date _____

Appendix I: Affirmative Action Requirements

CONNECTICUT STATE DEPARTMENT OF EDUCATION AFFIRMATIVE ACTION PACKET

The State Department of Education (SDE) is committed to Equal Opportunity and Affirmative Action and will not knowingly do business with any grantees, bidders, contractors, subcontractors or suppliers of materials who engage in acts of unlawful discrimination. In accordance with Administrative Regulations Sections 46a-68-31 through 46a-68-74 "Affirmative Action By State Government" and 4a-60 through 4a-60a and 46a-68c through 46a-68k "Contract Compliance" as administered by the Commission on Human Rights and Opportunities (CHRO), the SDE encourages grantees, bidders, contractors, subcontractors, and suppliers of materials to develop and implement Affirmative Action Plans.

Contractors with 50 or more employees and contract awards that total **\$4,000** or more for leases, rental and personal service agreements are required to have or develop a written Affirmative Action Plan addressing any identified under utilization of minorities and women. Further, contractors with fewer than 50 employees regardless of contract amount or contractors with 50 or more employees with a total contract amount of less than \$4,000 for leases, rental and personal service agreements are required, at a minimum, to develop a written Affirmative Action Policy Statement.

In accordance with CHRO Regulations concerning contract compliance procedures for state agencies, this packet was prepared to assist all bidders for contractual services to comply with legally mandated application procedures. **All contractors and grantees must read and complete the appended forms where appropriate, and submit their Affirmative Action Policy Statement and Plan where appropriate.**

The following are appended hereto:

1. **Commission on Human Rights and Opportunities Contract Compliance Regulations and Notification to Bidders:** Makes prospective contractors and grantees aware of the State Department of Education's obligation to ensure that prospective contractors and grantees qualify pursuant to contract compliance requirements. *(Contractor/Grantee must complete).*
2. **Workforce Analysis:** A comprehensive inventory of all employees by race, sex, job title, and occupational category *(Contractor/Grantee must complete).*
3. **Definitions for Workforce Analysis:** Race/Ethnic identification and description of job categories to assist in the completion of workforce analysis.
4. **Standard Statement of Assurances:** *(Grantee must complete to apply for grants).*
5. **Contractor's Minority Business Enterprises Utilization Form:** *(Contractor/Grantee must complete when an MBE or WBE is engaged in a subcontract).*

6. **Affidavit/Certificate of Corporation:** *(Contractor/Grantee must complete only when an MBE or WBE that is not registered with the Department of Economic Development is engaged as a subcontractor and the Contractor/Grantee wish to receive credit for such pursuant to regulations).*
7. **Sample Affirmative Action Policy Statement:** Contractor/Grantee may use this as an example or may use it as their statement by placing it on their letterhead.

Please submit the completed forms along with your proposal or bid to the person or office identified in the request for proposal.

Affirmative Action Office
State Department of Education
(860) 566-7619

(Rev 6/99)

NOTIFICATION TO BIDDERS

The contract to be awarded is subject to contract compliance requirements mandated by Section 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Section 46a-71(d) and 46a-81 i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies which establish a procedure for the awarding of all contracts covered by Sections 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, *every agency awarding a contract subject to the contract compliance requirements has an obligation to "aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials."* **"Minority business enterprise"** is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: **"(1) Who are active in the daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; (3) who are members of a minority, as such term is defined in sub-section (a) of Section 32-9n."** **"Minority"** groups are defined in section 32-9n of the Connecticut General Statutes as **"(1) Black Americans... (2) Hispanic Americans... (3) persons with origins in the Iberian Peninsula... (4) Women... (5) Asian Pacific Americans and Pacific Islanders... (6) American Indians... (7) individuals with a disability considered a minority business enterprise pursuant to Connecticut General Statutes, Section 32-9e."** The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder's qualifications under the contract compliance requirements:

- a) the bidder's success in implementing an affirmative action plan;
- b) the bidder's success in developing an apprenticeship program complying with Section 46a-68-1 to 46a-68- 17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- c) the bidder's promise to develop and implement a successful affirmative action plan;
- d) the bidder's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and
- e) the bidder's promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.
- f) the bidder's certifies firm is not listed on debarment lists promulgated pursuant to CGS, Section 31-53a and 34 CFR Part 85., Appendix A of federal statutes.

INSTRUCTION: Bidder must sign acknowledgment below, and return the signed acknowledgment to the State Department of Education along with the bid proposal.

The undersigned acknowledges receiving and reading a copy of the Commission on Human Rights and Opportunities Contract Compliance Regulations and the "Notification to Bidders" form.

Signature

Date

On behalf of:

Organization Name

Project No: _____

Rev. 6/99

**CONNECTICUT COMMISSION ON HUMAN RIGHTS & OPPORTUNITIES
CONTRACT COMPLIANCE REGULATIONS AND NOTIFICATION TO
BIDDERS**

Sections 46a-68j-23 (1)-(10) and 46a-68j-24 (a)

CONTRACT COMPLIANCE

Sec. 46a-68j-23. Obligations of Contractors:

Every contractor awarded a contract subject to contract compliance requirement shall:

- 1) Comply fully with all federal and state anti-discrimination laws, and shall not discriminate or permit a discriminatory practice to be committed;
- 2) Cooperate fully with the commission;
- 3) Submit periodic reports of its employment and subcontracting practices in such a form, in such a manner and at such a time as may be prescribed by the Commission;
- 4) Provide reasonable technical assistance and training to minority business enterprises to promote the participation of such concerns in state contracts and subcontracts;
- 5) Make a good faith effort, based upon the availability of minority business enterprises in the labor market area, to award a reasonable proportion of all subcontractors to such enterprises;
- 6) Maintain full and accurate support data for a period of two (2) years from the date the record is made or the date the contract compliance form is submitted, whichever is later, provided that this provision shall not excuse compliance with any other applicable record retention, state regulation or policy providing for a period of retention in excess of two (2) years;
- 7) Not discharge, discipline or otherwise discriminate against any person who has filed a complaint, testified or assisted in any proceeding with the commission;
- 8) Make available for inspection and copying any support data requested by the commission, and make available for interview any agent, servant or employee having knowledge of any matter concerning the investigation of a discriminatory practice complaint or any matter related to a contract compliance review;
- 9) Include a provision in all subcontracts with minority enterprises requiring that the minority business enterprise provide the Commission with such information on its structure and operations as the Commission finds necessary to make an informed determination as to whether the standards of Section 4a-60 of the Connecticut General Statutes as amended by Sec. 2 of Public Act 89-253 have been met; and

(Page 1 of 2)

- 10) Undertake such other reasonable activities or efforts as the Commission may prescribe to ensure the participation of minority business enterprises as state contractors and subcontractors.

Sec 46a-68j-24. Utilization of Minority Business Enterprises:

- a) Contractors shall make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on all projects subject to contract compliance requirements.

(Page 2 of 2)

CONNECTICUT COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES WORKFORCE ANALYSIS

Contractor Name: _____
 Address: _____

Total number of CT employees:
 Full-time _____ Part time _____

Complete the following Analysis for employees of Connecticut work sites who are:

JOB CATEGORIES	OVERALL TOTALS (SUM OF ALL COLS. MALE & FEMALE)	WHITE (NOT OF HISPANIC ORIGIN)		BLACK (NOT OF HISPANIC ORIGIN)		HISPANIC		ASIAN OR PACIFIC ISLANDER		AMERICAN INDIAN OR ALASKAN NATIVE		PEOPLE WITH DISABILITIES	
		MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE
OFFICIALS & MANAGERS													
PROFESSIONALS													
TECHNICIANS													
PARAPROFESSIONAL													
SALES WORKER													
OFFICE & CLERICAL													
CRAFT WORKERS (Skilled)													
OPERATIVES (Semi-skilled)													
LABORERS (unskilled)													
SERVICE WORKERS													
TOTALS ABOVE													
TOTALS ONE YEAR AGO													

FORMAL, ON - THE JOB TRAINEES (Enter figures for the same categories as are shown above).

Apprentices													
Trainees													

EMPLOYMENT FIGURES WERE OBTAINED FROM VISUAL CHECK: EMPLOYMENT RECORDS: OTHER:

1. Have you successfully implemented an Affirmative Action Plan? Yes: ____ Date of implementation ____
 Not Applicable: ____ Explain: ____

(a) Please submit a summary of your Affirmative Action Plan.

2. Have you successfully developed an apprenticeship program complying with Sec. 46a-68-17 of the Connecticut Department of Labor Regulations, inclusive? Yes: ____ No: ____ Not Applicable: ____ Explanation: ____

3. According to EEO-1 data, is the composition of your workforce at or near parity when compared with the race and gender composition of the workforce in the relevant labor market area? Yes: ____ No: ____ Explanation: ____

4. If you plan to subcontract, will you set aside a portion of the contract for legitimate minority business enterprises?
 Yes: ____ No: ____ Explanation: ____

 Contractor's Authorized Signature

 Date

DEFINITIONS FOR WORKFORCE ANALYSIS

RACE/ETHNIC IDENTIFICATION:

You may acquire the race/ethnic information necessary for this report either by visual surveys of the Workforce, or from records as to the identity of employees after the starting date of employment.

Please note that conducting a visual survey and keeping records of the race/ethnic identity of employees is legal in all jurisdictions and under all Federal and State Laws.

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purpose of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group.

DESCRIPTION OF JOB CATEGORIES:

Officials and managers: Occupations requiring administrative managerial personnel who set broad policies, exercise overall responsibility for execution of these policies, and direct individual departments or special phases of a firm's operations. Includes: *officials, executives, middle management, plan managers, department managers, and superintendents, salaried supervisors who are members of management, purchasing agents and buyers, railroad conductors and yard masters, ship captains, mates and other officers, farm operators and managers, and kindred workers.*

Professionals: Occupations requiring either college graduation or experience of such kind and amount as to provide a comparable background. Includes: *accountants and auditors, airplane pilots, and navigators, architects, artists, chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, registered professional nurses, personnel and labor relations specialists, physical scientists, physicians, social scientists, teachers, and kindred workers.*

Technicians: Occupations requiring a combination of basic scientific knowledge and manual skill which can be obtained through two (2) years of post-high school education, such as is offered in many technical institutes and junior colleges, or through equivalent on-the-job training. Includes: *computer programmers, drafters, engineering aides, junior engineers, mathematical aides, licensed practical or vocational nurses, photographers, radio operators, scientific assistants, surveyors, technical illustrators, technicians (medical, dental, electronic, physical science), and kindred workers.*

Sales: Occupations engaging wholly or primarily in direct selling. Includes *kindred workers.*

Office and clerical: All clerical type work regardless of level of difficulty. Includes *kindred workers.*

Craft Workers: (*skilled*) - Manual workers of relatively high skill level having a thorough comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. Includes *kindred workers*.

Operatives: (*semiskilled*) - Workers who operate machine or processing equipment or perform other factory-type duties of intermediate skill level which can be mastered in a few weeks and require only limited training. Includes *kindred workers*.

Laborers: (*unskilled*) - Workers in manual occupations which generally require no special training, perform elementary duties that may be learned in a few days and require the application of little or no independent judgment. Includes *kindred workers*.

On-the job trainees:

Production: Persons engaged in formal training as a craft worker - when not trained under apprentice programs - operative, laborer and service occupations.

White collar: Persons engaged in formal training for clerical, managerial, professional, technical, sales office and clerical occupations.

CONTRACTOR'S MINORITY BUSINESS ENTERPRISES

UTILIZATION FORM

NAME AND ADDRESS OF AWARDING AGENCY:		NAME AND ADDRESS OF CONTRACTOR:	
<div>PROJECT NO: _____</div> <div>DATE AWARDED: _____</div> <div>DATE BID OPENED: _____</div>			
<p>NOTICE TO CONTRACTORS: Under Section 46a-68J-23(5) of the Contract Compliance Regulations, contractors are required to make GOOD FAITH EFFORTS to employ Minority Business Enterprises (MBEs) as subcontractors and suppliers of materials on all projects subject to contract compliance requirements. The contract which is referenced above is subject to contract compliance requirements.</p> <p>INSTRUCTIONS: List the name and addresses of all MBEs you have selected as subcontractors and suppliers of materials for this project. If the MBEs selected as subcontractors and suppliers of materials meet the criteria for MBEs set out in Section 4a-60 of Connecticut General Statutes, contractors MUST complete the attached affidavit. If such business are not currently registered with the Department of Economic Development and if the contractor wishes the Commission on Human Rights and Opportunities (CHRO) to consider favorably the selection of an unregistered MBE in the evaluation of the contractor's good faith efforts, contractors MUST complete the attached affidavit. In either case, the affidavit must be filled out in triplicate, with the original sent to the CHRO, Contract Compliance Unit, 21 Grand Street, Hartford, Connecticut 06106; one copy sent to the Awarding Agency; and one copy retained by contractor. If the contractor does not wish the CHRO to consider selection of an unregistered MBE in its evaluation of the contractor's good faith efforts, no affidavit need be made.</p> <p><i>(Attached additional pages if necessary, using same headings.)</i></p>			
NAME AND ADDRESS OF ALL MBE SUBCONTRACTOR(S) OR SUPPLIER(S) OF MATERIALS:		Check here if MBE(s) qualify under Section 4a-60 of the Conn. Gen. Statues.	Check here if MBE is unregistered but wants consideration for good faith efforts.

This form developed pursuant to Section 46a-68j-23(5) of Regulations of Connecticut state Agencies concerning Contract Compliance.

AFFIDAVIT

I, _____ acting on behalf of _____ of which
(Name of person signing certification) (Contractor)

I am the _____ Certify and affirm:
(Title)

Check if provision applicable: _____ That the following minority business subcontractors and/

or suppliers of materials that _____ has hired for Contract No. _____
(Contractor)

with _____ meet the criteria for Minority Business Enterprises
(Awarding Agency)

set out in Section 4a-60 of the Connecticut General Statutes: _____
(Lists names of Minority Business Enterprises)

that qualified under current statutory requirements)

Check if provision applicable: _____ That the _____ has hired the
(Contractor)

following minority business subcontractors or suppliers of materials for Contract No. _____

with _____ that are not registered with the Department
(Awarding Agency)

of Economic Development, but which should be considered by the Connecticut

Commission on Human Rights and Opportunities when evaluating _____
(Contractor)

the good faith efforts:

(List names or unregistered MBEs)

I further certify and affirm that I have read and understand the contract compliance requirements codified at Section 4a-60 and Section 46a-7 1 (d) of the Connecticut General statutes.

I further certify and affirm that I have read and understand the contract compliance Regulations codified at Section 46a-68j-2 I through 43 of the Regulations of Connecticut State Agencies.

I understand that false statements made herein are punishable by law.

(Name of Corporation or Firm)

(Signature and Title of Official Making the Affidavit)

Subscribed and sworn to before me, this _____ day of _____

Notary Public/Commissioner of the Superior Court

My Commission Expires: _____

CERTIFICATE OF CORPORATION

I, _____ certify that I am the Secretary of the Corporation named in the foregoing instrument; that I have been duly authorized to affix the seal of the Corporation to such papers as require the seal; that _____, who signed said instrument on behalf of the Corporation was then _____ of said Corporation; that said instrument was duly signed for and in behalf of said Corporation by authority of its governing body and is within the scope of its Corporation powers.

(Signature of Person Certifying)

(Corporate Seal)

SAMPLE: *(You may use this as an example or you may use it as your statement by placing it on your letterhead).*

AFFIRMATIVE ACTION POLICY STATEMENT

It has always been the policy and will continue to be the strong commitment of _____ and all contractors and subcontractors who do business with _____ to provide equal opportunities in employment to all qualified persons solely on the basis of job-related skills, ability and merit.

_____ will continue to take affirmative action to ensure that no persons are discriminated against with regard to their race, color, sex, sexual orientation, national origin, ancestry, religion, age, physical disability, mental retardation, marital status, present or past history of mental disorder, learning disability or criminal record. Such action includes, but is not limited to, employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation and selection for training including apprenticeship. _____ will continue to make good faith efforts to comply with all federal and state laws and policies which speak to Equal Employment Opportunity and Affirmative Action.

Equal Employment Opportunity is essential, but is not enough to guarantee the full and fair employment of minorities, women or other protected classes. Therefore, Affirmative Action is necessary. Affirmative Action is results - oriented programs used to address and overcome the present effects of past discrimination.

Sexual Harassment, another form of sex discrimination, will not be tolerated in the work place. Therefore, engaging in acts of sexual harassment or any other forms of unlawful discrimination will constitute grounds for disciplinary action.

This Policy Statement is based on both the spirit and the letter of state and federal anti discrimination laws, regulations and executive orders. Accordingly, care is taken to ensure that no person shall be excluded from participation in, be denied the benefits of, or otherwise be unlawfully discriminated against. Further,

_____ will not knowingly use the services of, patronize or otherwise deal with any business, contractor, subcontractor or agency that engages in acts of unlawful discrimination.

This Affirmative Action Policy Statement reaffirms my personal commitment to the principles of Equal Employment Opportunity and Affirmative Action.

SIGNATURE

DATED

AFFIRMATIVE ACTION PLAN

IF A CURRENT AFFIRMATIVE ACTION PLAN IS ON FILE WITH THE CONNECTICUT DEPARTMENT OF EDUCATION, COMPLETE THE STATEMENT WRITTEN BELOW AND SUBMIT AS PART OF THE PROPOSAL.

IF A CURRENT AFFIRMATIVE ACTION PLAN IS NOT ON FILE, COMPLETE THE ATTACHED AFFIRMATIVE ACTION PACKAGE AND SUBMIT AS PART OF THE PROPOSAL.

CERTIFICATION THAT A CURRENT AFFIRMATIVE ACTION PLAN IS ON FILE

I, the undersigned authorized official, hereby certify that the current affirmative action plan of the applying organization/agency is on file with the Connecticut State Department of Education. The affirmative action plan is, by reference, part of this application.

Signature of Authorized Official

Date

Name and Title

Appendix J: Application Checklist

APPLICANT AGENCY:

**RFP NAME: State Funds to Provide Technical Assistance for Connecticut Health
and Education Facilities Authority (CHEFA) Applicants**

BASIC ELIGIBILITY

The Proposal contains all of the following completed appendices below.

- **Application Checklist (Appendix J)** _____
- **Cover Page with Signature (Appendix A)** _____
- **Narrative Description (Appendix B)** _____
- **Plan for Expenditure of Funds (Appendix C)** _____
- **Fiscal Agent (Appendix D)** _____
- **Budget (Appendix E)** _____
- **Budget Narrative (Appendix F)** _____
- **Statement of Assurances (Appendix H)** _____
- **Affirmative Action (Appendix I)** _____

Date:_____ **Certified by:**_____

Appendix K: Evaluation Criteria Based on Grant Requirements

SECTION	SECTION SCORE	COMMENTS
Narrative (14 pts)		
Plan for Expenditure of Funds (36 pts)		
a. Planning Process		
b. Pre-application Process		
c. Other		
Budget/Budget Narrative (5pts)		
Documentation of Knowledge and Experience (45 pts)		
a. Early Childhood Environmental Design		
b. Real Estate Development		
c. Finance		
TOTAL POINTS (100 pts)		